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PTO/SB/21 (05-03) Approved for use through 04/30/2003. OMB 0651-003 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE perwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number Application Number 09/750,417 TRANSMITTAL Filing Date December 27, 2000 **FORM** First Named Inventor Stuart J. CLENAGHAN, et al. Art Unit 3624 (to be used for all correspondence after initial filing) **Examiner Name** Lalita M. Hamilton Attorney Docket Number 22 74577-052 Total Number of Pages in This Submission **ENCLOSURES** (Check all that apply) After Allowance communication Drawing(s) ( to Group Fee Transmittal Form Sheets) Appeal Communication to Board Licensing-related Papers of Appeals and Interferences Fee Attached Appeal Communication to Group Petition (Appeal Notice, Brief, Reply Brief) Amendment/Reply Petition to Convert to a Proprietary Information After Final Provisional Application Power of Attorney, Revocation Status Letter Change of Correspondence Address Affidavits/declaration(s) Other Enclosure(s) (please Terminal Disclaimer Identify below): Extension of Time Request Return postcard Request for Refund Express Abandonment Request CD, Number of CD(s) Information Disclosure Statement Remarks Certified Copy of Priority Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Abigail F. Cousins Individual name Signature Cousins Date November 2, 2005 CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. Typed or printed name Elizabeth Tavarez Date November 2, 2005 Signature

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Group Art Unit 3624

Examiner Lalita M. Hamilton

Application of:

Stuart J. CLENAGHAN, ET AL.

Filed:

December 27, 2000

Serial No.

09/750,417

Title

METHOD AND APPARATUS FOR

SELLING FINANCIAL INSTRUMENTS

**RESPONSE** 

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 I hereby certify that this paper is being deposited this date with the U.S. Postal Service as Express mail addressed to the Assistant Commissioner for Patents, Box 1450, Alexandria, VA 22313-1450

Express # EV 006699360 US

Person signing the certification

Eduabeth June

November 2, 2005

Date

Sir:

In response to the previous Office Action dated March 28, 2005, Applicants timely filed a Response together with a Petition For Extension Of Time on July 12, 2005. However, while the caption of the Response included the correct Application Number, a typographical error was made in one digit of this number in a heading on each page. This was kindly pointed out by the Examiner in the present Communication dated October 7, 2005, and a one month term for correcting this error was set.

Accordingly, the Applicants are now resubmitting their Response with the required correction. The remainder of this paper consists of a repeat of the Response of July 12, 2005.

The Examiner is respectfully requested to favorably reconsider the above-identified patent application for the following reasons:

The listing of claims begins on page 3 of this paper.

Remarks/Arguments begin on page 15 of this paper.